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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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10/800,295

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Scott F. Singer

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MBHB/TRADING TECHNOLOGIES  
300 SOUTH WACKER DRIVE  
SUITE 3200  
CHICAGO, IL 60606

EXAMINER

LIU, CHIA-YI

ART UNIT

PAPER NUMBER

3692

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PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

<b>Office Action Summary</b>	<b>Application No.</b> 10/800,295	<b>Applicant(s)</b> SINGER ET AL.	
	<b>Examiner</b> CHIA-YI LIU	<b>Art Unit</b> 3692	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 12 March 2004.
- 2a) ☒ This action is **FINAL**.                      2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-5 and 7-27 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-5 and 7-27 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)            | 4) <input type="checkbox"/> Interview Summary (PTO-413)           |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)   | Paper No(s)/Mail Date. _____                                      |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date <u>2/6/2008</u> .  | 6) <input type="checkbox"/> Other: _____                          |

## DETAILED ACTION

1. Claims 1-5 and 7-27 are presented for examination. Applicant filed an amendment on 2/6/2008 canceling claim 6, amending claims 1-3, 5, 7-12, and 15. New grounds of rejection of claims 1-5 and 7-27 necessitated by Applicant's amendment are established in the instant office action as set forth in detail below.

### ***Claim Rejections - 35 USC § 103***

2. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

3. Claims 1-14, 25 are rejected under 35 U.S.C. 103(a) as being unpatentable over Burns (US 2003/0004852 A1) in view of Kemp, II et al. (US 2002/0099644 A1), and further in view of Official Notice.

As per Claim 1

Burns ('852) discloses,

establishing a static value axis (statically displaying prices, see Abstract of Burns, lines 7-10) that comprises a plurality of net change value levels (column 840, spread price levels) wherein the plurality of net change value levels are based on the net change value (spread price), see paragraph 0087, lines 8-9 and Fig 8.

dynamically displaying a first indicator (marker moves with the best bid price) in one of a plurality of locations in a bid display region, see paragraph 0063, lines 10-14 and Fig 5 (510, 511)

dynamically displaying a second indicator (marker moves with the best offer price) in one of a plurality of locations in an ask display region, see paragraph 0063, lines 10-14 and Fig 5 (512)

the first indicator (Fig 5 (510, 511)) representing quantity associated with at least one order (100 orders) to buy the tradable object at the highest bid price (9220) currently available in the market, see Fig 5.

the second indicator (Fig 5 (512)) representing quantity associated with at least one order (15 orders) to sell the tradable object at the lowest ask (offer) price (9221) currently available in the market, see Fig 5.

each location in the bid display region (Fig 8 (column 820)) corresponding to a net change value level (spread price) along the static value axis (statically displaying prices, see Abstract of Burns, lines 7-10), see paragraph 0078, lines 1-6 and Fig 8.

each location in the ask display region (Fig 8 (column 830)) corresponding to a net change value level (spread price) along the static value axis (statically displaying prices, see Abstract of Burns, lines 7-10), see paragraph 0078, lines 1-2, 6-8 and Fig 8.

displaying an order entry region comprising a plurality of locations (bids and asks area) for receiving commands to send trade orders (allowing the placement of trade), see paragraph 0009, lines 17-21.

displaying the bid and ask display regions in relation to the plurality of net change value levels (spread) positioned along the static value axis, see Fig 8 and paragraph 0079, lines 1-8, and when the inside market changes, at least one of the first and second indicators moves in the bid or ask display regions relative to the static value axis (the markets track or move with the best bid/offer prices), see paragraph 0063, lines 11-14 and Fig 5 (510, 512).

selecting a particular location of the order entry region by a single action of a user input device and allowing placement of trade order, each location of the order entry region corresponding to a net change value level along the static value axis, see paragraph 0009, lines 17-21. (Display of bids and asks = region corresponding to net change value level, see Fig 8 and paragraph 0078, lines 1-6)

Burns ('852) teaches a net change value (spread price) determined based on the highest bid price (best bid), see paragraph 0086, lines 5-6, and displaying an indicator corresponding with a desired price level, see paragraph 0007, lines 10-

11, but fails to explicitly disclose the first indicator is displayed in a first location that corresponds to a net change value. Official Notice is taken that placing an indicator at a desired location is old and well known in the art. Therefore, the Examiner asserts that it would have been obvious for one of ordinary skill in the art, at the time the invention was made, to modify Burns' invention to include the first indicator is displayed in a first location that corresponds to a net change value determined based on the highest bid price. One would be motivated to do so, for the benefit of pointing customers to useful information, thereby allowing customers to make decisions quicker.

Burns ('852) teaches a net change value (spread price) determined based on the lowest ask price (best offer), see paragraph 0086, lines 5-6, and displaying an indicator corresponding with a desired price level, see paragraph 0007, lines 10-11, but fails to explicitly disclose the second indicator is displayed in a second location that corresponds to a net change value. Official Notice is taken that placing an indicator at a desired location is old and well known in the art. Therefore, the Examiner asserts that it would have been obvious for one of ordinary skill in the art, at the time the invention was made, to modify Burns' invention to include wherein the second indicator is displayed in a second location that corresponds to a net change value determined based on the lowest ask price. One would be motivated to do so, for the benefit of pointing customers to useful information, thereby allowing customers to make decisions quicker.

Burns ('852) teaches computing a net change value (spread) based on a first value (best offer) and a second value (best bid), wherein the net change value represents a difference between the first and second values (9861-9223), see paragraph 0086, lines 5-6 and Fig 7, but fails to explicitly disclose basing the first value at a first time and basing the second value at a second time. Official Notice is taken that it is old and well known to calculate net change value using values obtained at different time. Also, since best offer and best bid don't always occur at the same time, the Examiner asserts that it would have been obvious for one of ordinary skill in the art, at the time the invention was made, to modify Burns' invention to include disclose basing the first value at a first time and basing the second value at a second time. One would be motivated to do so, for the benefit of not limiting customer to only small range information.

Burns ('852) teaches selecting a particular location of the order entry region by a single action of a user input device and allowing placement of trade order, see paragraph 0009, lines 17-21, but fails to explicitly disclose in response to a selection of a particular location of the order entry region by a single action of a user input device, setting a plurality of parameters for a trade order relating to the tradable object and sending the trade order to the electronic exchange. Kemp ('644) discloses in response to a selection of a particular location of the order entry region by a single action of a user input device, see paragraph 0015, lines

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5-6, 14, setting (preset) a plurality of parameters for a trade order relating to the tradable object (see paragraph 0015, lines 20-23) and sending the trade order to the electronic exchange, see Abstract of Kemp, lines 2-3. Both Burns and Kemp are directed toward electronic trading tool with display of price and bid/ask quantity. Therefore, the Examiner asserts that it would have been obvious for one of ordinary skill in the art, at the time the invention was made, to modify Burns' invention to include in response to a selection of a particular location of the order entry region by a single action of a user input device, setting a plurality of parameters for a trade order relating to the tradable object and sending the trade order to the electronic exchange. One would be motivated to do so for the benefit of allowing customer to set the contents of the trade order according to his/her own need, and providing the customer with improved efficiency and versatility in placing trade orders.

As per Claim 2

Burns ('852) further discloses displaying a numerical, graphical, or numerical and graphical representation of the plurality of net change value levels (spread) along the static value axis, see Fig 8. (Numerical representation = 645, 644, 643 ...etc.)

As per Claim 3

Burns ('852) further discloses each of the plurality of net change value levels is based on a common relationship for a different price, see paragraph 0086, lines 5-6. (Common relationship = best bid—best offer.)

As per Claim 4

Burns ('852) teaches facilitating spread trading using a graphical user interface, see paragraph 0009, lines 1-3, but fails to explicitly disclose input the common relationship through a graphical user interface. Official Notice is taken that it is old and well known in the art to input common relationship through a graphical user interface. For example, input a mathematical equation on a Microsoft spreadsheet. Therefore, the Examiner asserts that it would have been obvious for one of ordinary skill in the art, at the time the invention was made, to modify Burns' invention to include input the common relationship through a graphical user interface. One would be motivated to do so for the benefit of providing trader with improved efficiency in viewing price spread.

As per Claim 5

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Burns ('852) further discloses the common relationship comprises  $\text{Net change} = (\text{Value(s) at Current Point}) - (\text{Value(s) at Reference Point})$ , see paragraph 0043, lines 2-4. (Current point = settlement price, reference = theoretical price)

## Claim 7

Burns ('852) teaches the plurality of net change value levels (price spread) are updated (automatically recalculated), see paragraph 0085, lines 1-4, but fails to explicitly disclose the plurality of net change value levels are updated at predetermined intervals. Official Notice is taken that it is old and well known to update data at predetermined intervals. Therefore, the Examiner asserts that it would have been obvious for one of ordinary skill in the art, at the time the invention was made, to modify Burns' invention to include the plurality of net change value levels are updated at predetermined intervals. One would be motivated to do so for the benefit of allowing the customer to know ahead of time when the change value levels will be updated.

## As per Claim 8

Burns ('852) teaches the plurality of net change value levels (price spread) are updated (automatically recalculated), see paragraph 0085, lines 1-4, but fails to explicitly disclose displaying a region for receiving a command to update the plurality of net change value levels, wherein the plurality of net change value are updated in response to a selection of the region with a user input device. Official Notice is taken that it is old and well known to update data in response to a selection of region with a user input device. For example, use computer mouse (user input device) to click "Fresh" button (selected location) on Internet Explorer to update a page. Therefore, the Examiner asserts that it would have been obvious for one of ordinary skill in the art, at the time the invention was made, to modify Burns' invention to include displaying a region for receiving a command to update the plurality of net change value levels, wherein the plurality of net change value are updated in response to a selection of the region with a user input device. One would be motivated to do so, for the purpose of allowing the customer update the net change value easily when they want to see new information.

## As per Claim 9

Burns ('852) further discloses the plurality of net change value levels (spread) are updated in response to detecting a programmed event (detecting a market change), see paragraph 0085, lines 1-4.

## As per Claim 10

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Burns ('852) teaches displaying a plurality of bid and offer indicators in association with the plurality of net change value levels, wherein each of the bid indicators represents a quantity available to buy the tradable object and each of the offer indicators represents a quantity available to sell the tradable object, see Fig 8 and paragraph 0079, lines 1-8. (Also, see Claim 1 of Burns above regarding the use of indicators is old and well known)

As per Claim 11

Burns ('852) fails to explicitly disclose consolidating the plurality of net change value levels on the static value axis such that groups of two or more values are combined into consolidated value levels and consolidating the display of the plurality of bid and offer indicators into a plurality of consolidated bid and offer indicators so that each consolidated bid and offer indicator represents quantity associated with the two or more values within a consolidated value level. Kemp ('644) discloses consolidating numbers in order to condense the display, see paragraph 0018. Both Burns and Kemp are directed toward electronic trading tool with display of price and bid/ask quantity. Therefore, the Examiner asserts that it would have been obvious for one of ordinary skill in the art, at the time the invention was made, to modify Burns' invention to include consolidating the plurality of net change value levels on the static value axis such that groups of two or more values are combined into consolidated value levels and consolidating the display of the plurality of bid and offer indicators into a plurality of consolidated bid and offer indicators so that each consolidated bid and offer indicator represents quantity associated with the two or more values within a consolidated value level. One would be motivated to do so for the benefit of allowing a customer to view a greater range of data and a greater number of orders in the market at any given time and reducing the risk of a favorable order scrolling from the screen prior to hitting a bid or ask on that order.

As per Claim 12

Burns ('852) further discloses displaying a second set of values (Fig 8 (820)) along the static value axis, wherein each of the second set of values corresponds to each of the plurality of net change value levels (Fig 8 (810)) on the static value axis, see Fig 8 and paragraph 0079, lines 1-6.

As per Claim 13

Burns ('852) fails to explicitly disclose each of the second set of values represents a price. Official Notice is taken that it is old and well known to display related values next to a set of values. In Burns' invention, the prices used to calculate the spread (see Fig 7, FGBL/FGBM prices) would be useful information that the trader might want to know. Therefore, the Examiner asserts that it would



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have been obvious for one of ordinary skill in the art, at the time the invention was made, to modify Burns' invention to include disclose each of the second set of values represents a price. One would be motivated to do so for the benefit of allowing the traders to know how the price spread was calculated before making decisions.

As per Claim 14

Burns ('852) fails to explicitly disclose each of the second set of values represents a different derivative of a price. Official Notice is taken that is it old and well known to display related values next to a set of values. In Burns' invention, the prices used to calculate the spread (see Fig 7, FGBL/FGBM prices) are derivatives of the spread price and would be useful information that the trader might want to know. Therefore, the Examiner asserts that it would have been obvious for one of ordinary skill in the art, at the time the invention was made, to modify Burns' invention to include disclose each of the second set of values represents a price. One would be motivated to do so for the benefit of allowing the traders to know how the price spread was calculated before making decisions.

4. Claims 15-24 are rejected under 35 U.S.C. 103(a) as being unpatentable over Burns (US 2003/0004852 A1) in view of Official Notice.

As per Claim 15

Burns ('852) discloses,

dynamically displaying a first indicator (marker moves with the best bid price) in a location in a bid display region, see paragraph 0063, lines 10-14 and Fig 5 (510, 511)

the location in the bid display region corresponding to one of the plurality of price derivative values (price spread), see paragraph 0078, lines 1-6 and Fig 8.

the first indicator (Fig 5 (510, 511)) representing quantity associated with at least one order (100 orders) to buy the tradable object at the highest bid price (9220) currently available in the market, see Fig 5.

the second indicator (Fig 5 (512)) representing quantity associated with at least one order (15 orders) to sell the tradable object at the lowest ask (offer) price (9221) currently available in the market, , see Fig 5.

the first/second indicators move relative to the plurality of price derivative values (price spread, see Fig 8) when the highest bid price/lowest offer price changes (the markets track or move with the best bid/offer prices), see paragraph 0063, lines 11-14 and Fig 5 (510, 512) and paragraph 0078, lines 1-2, 6-8 and Fig 8

dynamically displaying a second indicator (marker moves with the best offer price) in an ask display region, see paragraph 0063, lines 10-14 and Fig 5 (512)

the location in the ask display region (Fig 8 (column 830)) corresponding to one of the plurality of price derivative values (spread price), see paragraph 0078, lines 1-2, 6-8 and Fig 8.

Burns ('852) teaches calculating a plurality of price derivative values (price spread) wherein each of the plurality of price derivative values represents a change (9861-9223), between a first number (best offer) and at a second number (best bid), see paragraph 0086, lines 5-6 and Fig 7, but fails to explicitly disclose basing the first value at a first point in time and basing the second value at a second point time. Official Notice is taken that it is old and well known to calculate net change value using values obtained at different time. Also, since best offer and best bid don't always occur at the same time, the Examiner asserts that it would have been obvious for one of ordinary skill in the art, at the time the invention was made, to modify Burns' invention to include each of the plurality of price derivative values represents a change between a first number at a first point in time and at a second number at a second point in time. One would be motivated to do so, for the benefit of not limiting customer to only small range information.

Burns ('852) teaches a price derivative value (spread price) determined based on the highest bid price (best bid), see paragraph 0086, lines 5-6, and displaying an indicator corresponding with a desired price level, see paragraph 0007, lines 10-11, but fails to explicitly disclose the first indicator is displayed in a first location that corresponds to a price derivative value. Official Notice is taken that placing an indicator at a desired location is old and well known in the art. Therefore, the Examiner asserts that it would have been obvious for one of ordinary skill in the art, at the time the invention was made, to modify Burns' invention to include the first indicator is displayed in a first location that corresponds to a price derivative value determined based on the highest bid price. One would be motivated to do so, for the benefit of pointing customers to useful information, thereby allowing customers to make decisions quicker.

Burns ('852) teaches a derivative of price (spread price) determined based on the lowest ask price (best offer), see paragraph 0086, lines 5-6, and displaying an indicator corresponding with a desired price level, see paragraph 0007, lines 10-

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11, but fails to explicitly disclose the second indicator is displayed in a second location that corresponds to a derivative of price. Official Notice is taken that placing an indicator at a desired location is old and well known in the art. Therefore, the Examiner asserts that it would have been obvious for one of ordinary skill in the art, at the time the invention was made, to modify Burns' invention to include wherein the second indicator is displayed in a second location that corresponds to a price derivative value determined based on the lowest offer price. One would be motivated to do so, for the benefit of pointing customers to useful information, thereby allowing customers to make decisions quicker.

As per Claim 16

Burns ('852) teaches the first number represents a particular value of interest (best offer), see paragraph 0086, lines 5-6 and Fig 7, but fails to explicitly disclose the first point in time represents a designated time of interest. Official Notice is taken that it is old and well known to obtain values at a designated time of interest. Therefore, the Examiner asserts that it would have been obvious for one of ordinary skill in the art, at the time the invention was made, to modify Burns' invention to include the first point in time represents a designated time of interest. One would be motivated to do so, for the benefit of allowing customers the option to view market information obtained at the time he chooses.

As per Claim 17

Burns ('852) further discloses the first number represents a last traded price, a settlement price, a last bid price, a last ask price, a yield value, or a profit and loss value, see paragraph 0043, lines 2-4. (Settlement price/last traded price)

As per Claim 18

Burns ('852) teaches a user input device, see paragraph 0009, lines 17-21, but fails to explicitly disclose the particular value of interest is input through a graphical user interface. Official Notice is taken that it is old and well known to input value through a graphical user interface. (For example, input numbers through computer). Therefore, the Examiner asserts that it would have been obvious for one of ordinary skill in the art, at the time the invention was made, to modify Burns' invention to include the particular value of interest is input through a graphical user interface. One would be motivated to do so for the benefit of speeding up the trading process by input information through graphical device.

As per Claim 19

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Burns ('852) teaches the second number represents a particular value of interest (best bid), see paragraph 0086, lines 5-6 and Fig 7, but fails to explicitly disclose the first point in time represents a designated time of interest. Official Notice is taken that it is old and well known to obtain values at a designated time of interest. Therefore, the Examiner asserts that it would have been obvious for one of ordinary skill in the art, at the time the invention was made, to modify Burns' invention to include the second number represents a second particular value of interest and the second point in time represents a second designated time of interest. One would be motivated to do so, for the benefit of allowing customers the option to view market information obtained at the time he chooses.

As per Claim 20

Burns ('852) further discloses the second number represents a last traded price, a settlement price, a last bid price, a last ask price, a yield value, or a profit and loss value, see paragraph 0043, lines 2-4. (Settlement price/last traded price)

As per Claim 21

Burns ('852) teaches a user input device, see paragraph 0009, lines 17-21, but fails to explicitly disclose the second value of interest is input through a graphical user interface. Official Notice is taken that it is old and well known to input value through a graphical user interface. (For example, input numbers through computer). Therefore, the Examiner asserts that it would have been obvious for one of ordinary skill in the art, at the time the invention was made, to modify Burns' invention to include the second particular value of interest is input through a graphical user interface. One would be motivated to do so for the benefit of speeding up the trading process by input information through graphical device.

As per Claim 22

Burns ('852) further discloses the plurality of price derivative values (price spread) in the bid and ask (offer) display regions are positioned along a static value axis (statically displaying prices), see Abstract of Burns, lines 7-10, and Fig 8, 9.

As per Claim 23

Burns ('852) further discloses the bid and ask display regions are displayed in relation to fixed derivative of price values (spread) positioned along the static value axis (statically displaying prices), see Abstract of Burns, lines 7-10, and Fig 8, 9, and when the inside market changes, the derivative of price values along the static value axis do not move and at least one of the first and second

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indicators moves in the bid or ask display regions relative to the static value axis, see paragraph 0063, lines 10-14.

As per Claim 24

Burns ('852) fails to explicitly disclose receiving a recentering command to approximately center the first and second indicators in the bid and ask display regions. Kemp ('644) discloses receiving a re-center command to re-center the market on the trader's screen. Official Notice was taken that it is old and well known to center indicators in the desired regions. Both Burns and Kemp are directed toward electronic trading tool with display of price and bid/ask quantity. Therefore, the Examiner asserts that it would have been obvious for one of ordinary skill in the art, at the time the invention was made, to modify Burns' invention to include receiving a recentering command to approximately center the first and second indicators in the bid and ask display regions. One would be motivated to do so for the benefit of providing trader with improved efficiency in viewing bid and ask data.

As per 25

Burns ('852) further discloses displaying an order entry region comprising a plurality of locations (bids and asks area) for receiving commands to send trade orders (allowing the placement of trade), see paragraph 0009, lines 17-21, and each location corresponding to a derivative of price value (spread price) along the static value axis (statically displaying prices, see Abstract of Burns, lines 7-10), see paragraph 0078, lines 1-6 and Fig 8.

Burns ('852) teaches selecting a particular location of the order entry region by a single action of a user input device and allowing placement of trade order, see paragraph 0009, lines 17-21, but fails to explicitly disclose in response to a selection of a particular location of the order entry region by a single action of a user input device, setting a plurality of parameters for a trade order relating to the tradable object and sending the trade order to the electronic exchange. Kemp ('644) discloses in response to a selection of a particular location of the order entry region by a single action of a user input device, see paragraph 0015, lines 5-6, 14, setting (preset) a plurality of parameters for a trade order relating to the tradable object (see paragraph 0015, lines 20-23) and sending the trade order to the electronic exchange, see Abstract of Kemp, lines 2-3. Both Burns and Kemp are directed toward electronic trading tool with display of price and bid/ask quantity. Therefore, the Examiner asserts that it would have been obvious for one of ordinary skill in the art, at the time the invention was made, to modify Burns' invention to include in response to a selection of a particular location of the order entry region by a single action of a user input device, setting a plurality of parameters for a trade order relating to the tradable object and sending the

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trade order to the electronic exchange. One would be motivated to do so for the benefit of allowing customer to set the contents of the trade order according to his/her own need, and providing the customer with improved efficiency and versatility in placing trade orders.

As per Claim 26.

Burns ('852) further discloses the plurality of price derivative values (price spread) are represented by numbers, see Fig 8 (810).

As per Claim 27

Burns ('852) further discloses the plurality of price derivative values spread) are represented graphically (graphic user interface), see paragraph 0025, lines 1-3 and Fig 8.

### ***Conclusion***

Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than **SIX MONTHS** from the date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to CHIA-YI LIU whose telephone number is (571)270-1573. The examiner can normally be reached on Mon-Thur alternating Fri.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, KAMBIZ ABDI can be reached on (571) 272-6702. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

CHIA-YI LIU  
Examiner  
Art Unit 3692

/Susanna M. Diaz/  
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